



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No.: 19529-037

In re Patent Application of:  
RICHARD J. HELFERICH

Serial No.: 09/688,282

Group Art Unit: To be assigned

Filed: October 13, 2000

Examiner: To be assigned

For: SYSTEM AND METHOD FOR  
DELIVERING INFORMATION TO  
A TRANSMITTING AND  
RECEIVING DEVICE

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CERTIFICATE OF MAILING (37 C.F.R. § 1.8(1))

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231

11-7-00  
Date of Signature and  
Mail Deposit.

By

Virginia J. Byers  
Virginia J. Byers

Assistant Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT (IDS)**

Dear Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicants hereby make of record in the above-identified application the documents listed on the attached modified Form PTO-1449 (submitted in duplicate). The order of presentation of the references should not be construed as an indication of the importance of the references.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available

to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate items below:

- ☒ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. 1.491, OR before the mailing date of a first Office Action on the merits, whichever event occurs last. No certification or fee is required. 37 C.F.R. 1.97(b).
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date, OR more than three months after the date of entry of the national stage, AND after the mailing date of the first Office Action on the merits, whichever occurs first, but before the mailing date of a Final Rejection or Notice of Allowance. 37 C.F.R. 1.97(c).
  - ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1).

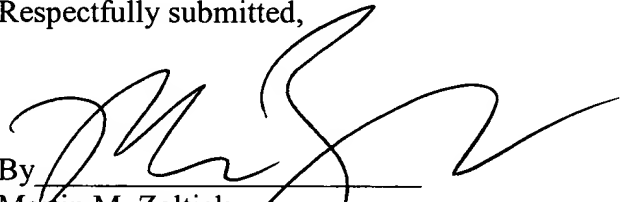
- \_\_\_\_\_ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2).
- \_\_\_\_\_ c. Attached is our check in the amount of \$240.00 in payment of the fee under 37 C.F.R. 1.17(p). Please charge any fee deficiencies, or credit any overpayment, to Deposit Account No. 50-1553 as needed to ensure consideration of the Information Disclosure Statement. Two duplicate copies of this paper are attached.
- \_\_\_\_\_ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date, OR more than three months after the date of entry of the national stage, AND after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. A separate Petition to the Group Director, requesting consideration of this Information Disclosure Statement, is concurrently submitted herewith, along with our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. 1.17(i)(1). Please credit or debit Deposit Account No. 50-0311 as needed to ensure consideration of the Information Disclosure Statement. Two duplicate copies of this paper are attached.
- \_\_\_\_\_ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1).
- \_\_\_\_\_ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2).
- \_\_\_\_\_ 4. The Document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided.
- \_\_\_\_\_ 5. A concise explanation of the non-English language document(s) appears in the attached appendix.

6. The Examiner's attention is directed to co-pending U.S. Patent Application No(s). \_\_\_\_\_, which is/are directed to related technical subject matter. The identification of this/these U.S. Patent Application(s) is not to be construed as a waiver of secrecy as to this/these application(s) now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited application(s) and the art cited therein during examination of the above-identified application.
- X 7. Document(s) was/were cited by or submitted to the Office in Application No. 08/933,344, filed 9/19/97, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

Dated: November 7, 2000

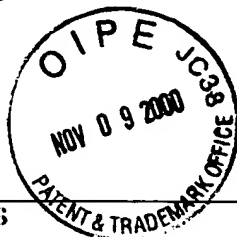
Respectfully submitted,

  
By \_\_\_\_\_  
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Attorneys for Applicant

# INFORMATION DISCLOSURE CITATION

PTO-1449



ATTORNEY'S DKT NO.

19529-037

APPLICATION NO.

09/688,282

APPLICANT

Richard J. HELFERICH

FILING DATE

October 13, 2000

GROUP

Unassigned

## U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	6,021,433	02/00	Payne et al.			
	6,087,956	07/00	Helferich			
	5,974,447	10/99	Cannon et al.			
	5,694,120	12/97	Indekeu et al.			
	5,870,030	02/99	Deluca et al.			
	5,781,857	07/98	Hwang et al.			
	5,838,252	11/98	Kikinis			
	4,868,560	09/89	Oliwa et al.			
	5,473,667	12/95	Neustein			
	5,561,702	10/96	Lipp et al.			
	5,630,207	05/97	Gitlin et al.			
	5,684,859	11/97	Chanroo et al.			
	5,726,643	03/98	Tani			
	5,761,622	06/98	Priest			
	5,809,130	09/98	Ayala			
	5,850,594	12/98	Cannon et al.			
	5,696,500	12/97	Diem			
	5,463,672	10/95	Kage			
	5,175,758	12/92	Levanto et al.			
	5,815,800	09/98	Su et al.			

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EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	5,455,823	10/95	Noreen et al.			
	5,489,894	02/96	Murray			
	5,448,759	09/95	Krebs et al.			
	5,239,679	08/93	Murai			
	5,774,803	06/98	Kariya			
	5,257,307	10/93	Ise			
	5,694,120	12/97	Indekeu et al.			
	3,118,145	01/64	Nee			
	4,480,253	10/84	Anderson			
	4,644,352	02/87	Fujii			
	4,737,979	04/88	Hashimoto			
	4,812,843	03/89	Champion, III et al.			
	4,821,308	04/89	Hashimoto			
	4,825,456	04/89	Rosenberg			
	4,845,491	07/89	Fascenda et al.			
	4,853,688	08/89	Andros et al.			
	4,897,835	01/90	Gaskill et al.			
	4,942,598	07/90	Davis			
	4,961,216	10/90	Baehr et al.			
	4,965,569	10/90	Bennett et al.			

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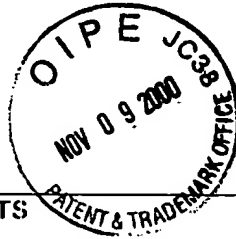
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	4,975,694	12/90	McLaughlin et al.			
	5,005,013	04/91	Tsukamoto et al.			
	5,007,105	04/91	Kudoh et al.			
	5,040,204	08/91	Sasaki et al.			
	5,043,721	08/91	May			
	5,047,763	09/91	Kuznicki et al.			
	5,065,423	11/91	Gaskill			
	5,093,659	03/92	Yamada			
	5,115,233	05/92	Zdunek et al.			
	5,117,449	05/92	Metroka et al.			
	5,128,980	07/92	Choi			
	5,134,724	07/92	Gehring et al.			
	5,138,311	08/92	Weinberg			
	5,138,312	08/92	Tsukamoto et al.			
	5,140,419	08/92	Galumbeck et al.			
	5,146,612	09/92	Grosjean et al.			
	5,153,903	10/92	Eastmond et al.			
	5,159,331	10/92	Park et al.			
	5,159,713	10/92	Gaskill et al.			
	5,173,688	12/92	DeLuca et al.			

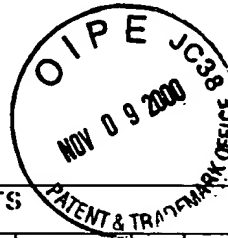
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	5,177,780	01/93	Kasper et al.			
	5,182,553	01/93	Kung			
	5,185,604	02/93	Nepple et al.			
	5,192,947	03/93	Neustein			
	5,194,857	03/93	Gomez			
	5,212,636	05/93	Nakazawa			
	5,220,366	06/93	King			
	5,227,774	07/93	Benoist			
	5,241,305	08/93	Fascenda et al.			
	5,247,700	09/93	Wohl et al.			
	5,257,307	10/93	Ise			
	5,265,033	11/93	Vajk et al.			
	5,285,426	02/94	Teodoridis			
	5,315,635	05/94	Kane et al.			
	5,329,501	07/94	Meister et al.			
	5,379,031	01/95	Mondrosch et al.			
	5,396,537	03/95	Schwendeman			
	5,398,021	03/95	Moore			
	5,402,466	03/95	Delahanty			
	5,410,302	04/95	Dulaney, III et al.			

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	5,418,835	05/95	Frohman et al.			
	5,426,422	06/95	Heuvel et al.			
	5,426,594	06/95	Wright et al.			
	5,428,663	06/95	Grimes et al.			
	5,432,839	07/95	DeLuca			
	5,440,559	08/95	Gaskill			
	5,444,671	08/95	Tschannen et al.			
	5,452,356	09/95	Albert			
	5,457,732	10/95	Goldberg			
	5,473,143	12/95	Vak et al.			
	5,475,653	12/95	Yamada et al.			
	5,479,378	12/95	Yamada et al.			
	5,479,408	12/95	Will			
	5,481,255	07/96	Albert et al.			
	5,483,595	01/96	Owen			
	5,485,503	01/96	Diem			
	5,487,100	01/96	Kane			
	5,497,373	03/96	Hulen et al.			
	5,530,438	06/96	Bickman et al.			
	5,530,930	06/96	Hahn			
	5,550,535	08/96	Park			
	5,555,446	09/96	Jasinski			
	5,572,196	11/96	Sakumoto et al.			

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	5,572,488	11/96	Yamada et al.			
	5,579,372	11/96	Astrom			
	5,581,593	12/96	Engelke et al.			
	5,588,009	12/96	Will			
	5,600,703	02/97	Dang et al.			
	5,604,788	02/97	Tett			
	5,623,242	04/97	Dawson, Jr. et al.			
	5,627,525	05/97	Kudoh et al.			
	5,635,918	06/97	Tett			
	5,644,627	07/97	Segal et al.			
	5,654,942	08/97	Akahane			
	5,663,703	09/97	Pearlman et al.			
	5,675,507	10/97	Bobo, II			
	5,675,627	10/97	Yaker			
	5,678,179	10/97	Turcotte et al.			
	5,592,532	01/97	Koizumi	379	58	08/26/94
	5,003,576	03/91	Helferich	379	88	04/14/89

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## FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						Yes	No

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Document: Statutory Invention Registration No. H610; Date: 03/07/89; Inventor: Focarile et al.

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